# Received by NSD/FARA Registration Unit 01/20/2016 5:33:00 PM

OMB No. 1124-0006; Expires April 30, 2017

U.S. Department of Justice

Washington, DC 20530

# Exhibit A to Registration Statement Pursuant to the Foreign Agents Registration Act of 1938, as amended

INSTRUCTIONS. Furnish this exhibit for EACH foreign principal listed in an initial statement and for EACH additional foreign principal acquired subsequently. The filing of this document requires the payment of a filing fee as set forth in Rule (d)(1), 28 C.F.R. § 5.5(d)(1). Compliance is accomplished by filing an electronic Exhibit A form at <a href="http://www.fara.gov">http://www.fara.gov</a>.

Privacy Act Statement. The filing of this document is required by the Foreign Agents Registration Act of 1938, as amended, 22 U.S.C. § 611 et seq., for the purposes of registration under the Act and public disclosure. Provision of the information requested is mandatory, and failure to provide this information is subject to the penalty and enforcement provisions established in Section 8 of the Act. Every registration statement, short form registration statement, supplemental statement, exhibit, amendment, copy of informational materials or other document or information filed with the Attorney General under this Act is a public record open to public examination, inspection and copying during the posted business hours of the Registration Unit in Washington, DC. Statements are also available online at the Registration Unit's webpage: <a href="http://www.fara.gov">http://www.fara.gov</a>. One copy of every such document, other than informational materials, is automatically provided to the Secretary of State pursuant to Section 6(b) of the Act, and copies of any and all documents are routinely made available to other agencies, departments and Congress pursuant to Section 6(c) of the Act. The Attorney General also transmits a semi-annual report to Congress on the administration of the Act which lists the names of all agents registered under the Act and the foreign principals they represent. This report is available to the public in print and online at: <a href="http://www.fara.gov">http://www.fara.gov</a>.

Public Reporting Burden. Public reporting burden for this collection of information is estimated to average .49 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Chief, Registration Unit, Counterespionage Section, National Security Division, U.S. Department of Justice, Washington, DC 20530; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

, ,		
Name and Address of Registrant     California Strategles, LLC     980 9th Street, Suite 2000     Sacramento, CA 95814		2. Registration No.
3. Name of Foreign Principal Consulate General of Japan in San Francisco	4. Principal Address of Foreign Princip 275 Battery Street, #2100 San Francisco, CA 94111	al
5. Indicate whether your foreign principal is one of the folk  Government of a foreign country!  Foreign political party  Foreign or domestic organization: If either, check		
☐ Partnership	☐ Committee	
☐ Corporation	Voluntary group	
Association	Other (specify)	
☐ Individual-State nationality		
If the foreign principal is a foreign government, state:     a) Branch or agency represented by the registrant		
Consulate General of Japan in San Francisco		
b) Name and title of official with whom registrant	t'deals	
Nobuhiro Watañabe, Deputy Consulate Gene		
7. If the foreign principal is a foreign political party, state: a) Principal address		
b) Name and title of official with whom registran	t deals	
c) Principal aim	•	
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Revised 03/14

<sup>1 &</sup>quot;Government of a foreign country," as defined in Section 1(e) of the Act. includes any person or group of persons exercising sovereign de facto or de jure political jurisdiction over any country, other than the United States, or over any part of such country, and includes any subdivision of any such group and any group or agency to which such sovereign de facto or de jure authority or functions are directly or indirectly delegated. Such term shall include any faction or body of insurgents within a country assuming to exercise governmental authority whether such faction or body of insurgents has or has not been recognized by the United States.

FORM NSD-3

. If the foreign pri	ncipal is not a foreign government or a foreign political party:	
a) State th	ne nature of the business or activity of this foreign principal.	
	•	•
	·	C - 8 - 6
		,
b) Is this?	foreign principal:	
Supervised	by a foreign government, foreign political party, or other foreign principal	Yes □ No □
	a foreign government, foreign political party, or other foreign principal	Yes ☐ No ☐
		Yes 🗆 No 🗀
•	y a foreign government, foreign political party, or other foreign principal	
	by a foreign government, foreign political party, or other foreign principal	Yes ☐ No ☐
Financed b	y a foreign government, foreign political party, or other foreign principal	Yes 🗌 No 🗎
Subsidized	in part by a foreign government, foreign political party, or other foreign principal	Yes 🗌 No 🖺
		· · · · · · · · · · · · · · · · · · ·
Explain fully all	items answered "Yes" in Item 8(b). (If additional space is needed, a full insert page n	nust be used.)
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If the foreign pr	incipal is an organization and is not owned or controlled by a foreign government, for	eion political party or other
	il, state who owns and controls it.	night boundern firmich on ormer
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	,	
•		•
	EXECUTION	
To accordance via	ith 28 II 9 C \$1746 the undersigned or were an affirm under nameltic of nations that I	ha/chia hois vánd tha
	ith 28 U.S.C. § 1746, the undersigned swears or affirms under penalty of perjury that loub in this Exhibit A to the registration statement and that he/she is familiar with the	
information set f	ith 28 U.S.C. § 1746, the undersigned swears or affirms under penalty of perjury that I forth in this Exhibit A to the registration statement and that he/she is familiar with the neir entirety true and accurate to the best of his/her knowledge and belief.	
information set f	forth in this Exhibit A to the registration statement and that he/she is familiar with the	
information set f contents are in th	forth in this Exhibit A to the registration statement and that he/she is familiar with the neir entirety true and accurate to the best of his/her knowledge and belief.	
information set f contents are in th	orth in this Exhibit A to the registration statement and that he/she is familiar with the neir entirety true and accurate to the best of his/her knowledge and belief.  Name and Title    Signature   Signature	

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U.S. Department of Justice

Washington, DC 20530

OMB No. 1124-0004; Expires April 30, 2017

## Exhibit B to Registration Statement Pursuant to the Foreign Agents Registration Act of 1938, as amended

INSTRUCTIONS. A registrant must furnish as an Exhibit B copies of each written agreement and the terms and conditions of each oral agreement with his foreign principal, including all modifications of such agreements, or, where no contract exists, a full statement of all the circumstances by reason of which the registrant is acting as an agent of a foreign principal. Compliance is accomplished by filing an electronic Exhibit B form at <a href="http://www.fara.gov">http://www.fara.gov</a>.

Privacy Act Statement. The filing of this document is required for the Foreign Agents Registration Act of 1938, as amended, 22 U.S.C. § 611 et seq., for the purposes of registration under the Act and public disclosure. Provision of the information requested is mandatory, and failure to provide the information is subject to the penalty and enforcement provisions established in Section 8 of the Act. Every registration statement, short form registration statement, supplemental statement, exhibit, amendment, copy of informational materials or other document or information filled with the Attorney General under this Act is a public record open to public examination, inspection and copying during the posted business hours of the Registration Unit in Washington, DC. Statements are also available online at the Registration Unit's webpage: <a href="http://www.fara.gov">http://www.fara.gov</a>. One copy of every such document, other than informational materials, is automatically provided to the Secretary of State pursuant to Section 6(b) of the Act, and copies of any and all documents are routinely made available to other agencies, departments and Congress pursuant to Section 6(c) of the Act. The Attorney General also transmits a semi-annual report to Congress on the administration of the Act which lists the names of all agents registered under the Act and the foreign principals they represent. This report is available to the public in print and online at: <a href="http://www.fara.gov">http://www.fara.gov</a>.

Public Reporting Burden. Public reporting burden for this collection of information is estimated to average .33 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Chief, Registration Unit, Counterespionage Section, National Security Division, U.S. Department of Justice, Washington, DC 20530, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

1. N	ame of Registrant	2. Registration No.	
California Strategies, LLC			655
3. N	ame of Foreign Principal	- VAI NA	<del></del>
Có	nsulate General of Japan in San Francisco		
	Chec	ck Appropriate Box:	· · · · · · · · · · · · · · · · · · ·
4. 🗵	The agreement between the registrant and the above checked, attach a copy of the contract to this exhibit		written contract. If this box is
5, 🛅	There is no formal written contract between the reg foreign principal has resulted from an exchange of correspondence, including a copy of any initial proj	correspondence. If this box is checked	, attach a copy of all pertinent
6. 🗀	The agreement or understanding between the registre contract nor an exchange of correspondence between the terms and conditions of the oral agreement of un	en the parties. If this box is checked, g	ive a complete description below of
7. D	escribe fully the nature and method of performance of	f the above indicated agreement or und	erstanding.
·to	he foreign principal has retained the registrant to pro o create and implement a public relations program a pportunities to articulate the positive role of that inc	imed at providing the Japanese high	

8.	Describe fully the ac	ctivities the registrant engages in or proposes to	engage in on behalf of the above foreign principal.	- ~
The registrant proposes to collect and analyze information concerning high speed rail activity in California; provide and and recommendations regarding opportunities for the Japanese high speed rail industry in the state; facilitate meeting between leaders in the California high speed rail effort and leaders in the high speed rail effort in Japan; and create and implement a public relations program aimed at providing the Japanese high speed rail industry with opportunities to articulate the positive role of that industry in California.				
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	•		•	
9.	Will the activities of the footnote below?		solitical activities as defined in Section 1(0) of the Act and	in
	If yes, describe all s	uch political activities indicating, among other t	things, the relations, interests or policies to be influenced	
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			,	
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		EXECUT	ION	
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i	nformation set forth i		ms under penalty of perjury that he/she has read the d that he/she is familiar with the contents thereof and that showledge and belief.	such
Ď.	ate of Exhibit B	Name and Title	Signature	
, 4	1-15-2016	JAMES E. BURTON, MANAGING PARTNER	Jamse Burton	
any don	agency of official of the Gonestic or foreign policies of	overnment of the United States or any section of the public with	he person engaging in believes will, or that the person intends to, in any way in in the United States with reference to formulating, adopting, or changing the crests, policies, or relations of a government of a foreign country or a foreign p	•
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## CALIFORNIA STRATEGIES, LLC

January 14, 2016

#### Contract

This contract will describe the relationship between the Consulate General of Japan in San Francisco and California Strategies, LLC, a consulting firm organized under the laws of California. Nobuliro Watanabe, representing the Consulate will work with Steve Larson, Partner in California Strategies, and they will represent their respective entities for the purposes of this contract. Both have agreed to the public relation activities as described in Article 1.

## Article 1 - Scope of Work

- Collect and analyze information from California state government concerning high speed rail activity in the state, and activity relating to high speed rail in the Las Vegas to California corridor.
- 2. Collect and analyze high speed rail information relating to possible competitors to Japanese firms in the California market (e.g., Siemens, the Chinese consortium, etc.).
- 3. Provide the Japanese government with analysis and recommendations related to high speed rail issues in California, and facilitate meetings and discussions with relevant leaders in the state.
- Where possible, support Japanese companies (e.g., Toyota Tsusho, located in Oakland) interested in participating in California High Speed Rail business opportunities.
- 5. Facilitate where possible visits to Japan between leaders of the California high speed rail effort and leaders of the high speed rail effort in Japan.
- 6: Create and implement a limited high speed rail public relations program aimed at providing the Japanese high speed rail consortium with opportunities for articulating the positive role of the Japanese in high speed rail activities in California (e.g., speeches, presentations, editorials, etc.)
- 7. Collect and analyze information relating to conventional passenger rail projects in California that might provide opportunities for synergies with Japanese rail interests within the state (e.g., progress on electrification of Caltrain on the San Francisco peninsula, progress on the new central transportation center in downtown San Francisco.).
- 8. Written monthly reports to the Consulate from California Strategies shall be made before each monthly payment. Additional reports shall be made from time to time in writing or orally as determined by the parties.

U.S. BANK PEAZA 980 NINTH SARRES, SUTE 2000 SACRAMENTO, CA 95814 ELLEBONE (916) 266-4575 • FACSIMILE (916) 266-4580

## Article 2 - California Strategies

Steve Larson, a Principal Partner with California Strategies will represent the firm to the Consulate (i.e., Mr. Watanabe) and if required may involve other assets of California Strategies without additional cost to the Consulate. There will be no additional costs to the Consulate except those agreed upon by both the Consulate and Mr. Larson.

## Article 3 - Reporting

At the request of the Consulate, Mr. Larson shall provide timely written reports of activities related to high speed rail activity in California, particularly those activities related to the tasks outlined in Article 1. Oral reports will be provided as needed.

## Article 4 - Length of Time for the Contract

The life of this contract shall be from January 15, 2016 to March 31, 2016. The terms of the contract and any amendments to the contract can be extended upon agreement of both parties to the contract.

## Article 5 - Compensation

Upon receipt of an invoice from California Strategies and approval by the Consulate, a payment of \$15,000 will be made to California Strategies no later than February 15, 2016. Upon receipt of an invoice and approval by the Consulate, a second payment of \$15,000 will be made to California Strategies no later than March 15, 2016. A third payment of \$7,500, after receipt of an invoice and approval by the Consulate, will be made no later than April 1, 2016. Compensation for this contract will total \$37,500 not including expenses agreed upon by both parties. If the Consulate deems that California Strategies has breached this contract, the Consulate may refuse to pay a part or the full amount of the contract, or may seek return of payment. No security deposit by either party is required by this contract.

## Article 6 - Confidentiality

Except as required by federal or state law California Strategies agrees to protect confidential information against unauthorized disclosure. Under the Poreign Agents Registration Act (FARA) this agreement must be disclosed. The Consultant will protect such information using a reasonable degree of care as is used to protect its own confidential information of a like nature. California Strategies agrees to protect confidential information disclosed under this agreement in both a.) a tangible form, clearly labeled confidential at time of disclosure, and b.) in nontangible form, pertaining to matters disclosed in writing or orally which protect or enhance the competitive position of companies designated by the Consulate. This agreement covers confidential information California Strategies has obtained to date and will obtain in the future. California Strategies' obligations regarding confidential information received under this agreement shall survive for two years following the termination of this contract. Also,

the principal partner (Steve Larson) of California Strategies will not have any business relationships, except for those approved by the Consulate, with companies deemed to be competitors of Japanese interests in high speed rail in California during the life of this contract.

### Article 7 - Indemnification

California Strategies will act in accordance with California law when pursuing objectives outlined in this contract. In addition, and not withstanding any provision of this Agreement to the contrary, neither party shall be liable to the other for indirect, incidental or consequential damages. In the event any damage, liability, loss, expense or cost, including attorney's fees, is the result of a negligent act, error, or omission of a party to this Agreement or any person employed by it, and arises out of the performance of this Agreement, the negligent party shall indemnify, defend and hold the other party harmless.

## Article 8 - Resolution of Differences

Any matters arising out of or in connection with this contract shall be resolved through consultation between the Consulate and California Strategies. Notwithstanding this mechanism of resolution of differences, either party may terminate this contract by issuing notification 30 days in advance.

## Article 9 - Code of Ethics

In respect to the performance of its Scope of Work, the Principal Partner of California Strategies specifically represents, warrants and agrees that, in respect of its involvement with the Consulate, no payment or offer of payment has been made or shall be approved or made by Mr. Larson with the intention of understanding that any part of such payment is to be used to influence or attempt to influence, corruptly or unlawfully, any decision or judgement of any official of any government or of any subdivision, agency, or instrument thereof of any political party in connection with the Consulate. The obligations in the paragraph shall survive the termination of this Agreement.

## Article 10 - Independent Contractor

By execution of the agreement, California Strategies acknowledges that it is an independent contractor and neither it nor its employees are employees of the Consulate for any purpose whatsoever. California Strategies has no right or authority to assume or create any obligation or responsibility, express or implied, on behalf of the Consulate, except as expressly authorized in writing by the Consulate.

#### Article 11 - Other Conditions

The scope of consulting services contemplated under this agreement does not include "lobbying" as that term is defined under the Political Reform Act (Government Code

Sections 81000 ct. seq.) or local law. Consequently, the Consulate hereby agrees that no payments to California Strategies will be classified as payments made to lobbyists or lobbying firms on any lobby disclosure reports filed by the Consulate, if any. Should at any time a question arise regarding lobbying activities, the Consulate and California Strategies agree to discuss immediately and take the appropriate action. If the scope of services needs to be amended to include lobbying activities the Consulate and California Strategies agree to make such amendment immediately and file the appropriate paperwork with the Secretary of State. California Strategies will register and file reports as required pursuant to FARA.

This Agreement will be governed by, and construed and enforced in accordance with the laws of the State of California and the United States.

In witness whereof, the parties hereto have caused this contract to be executed in duplicate originals, one original to be retained by each party.

Consulate General of Japan In San Francisco

California Strategies, LLC/

James E. Burton, Managing Partner

Nobuhiro Watanabe,
Deputy Consul General

Date: 1/15/30/6

Date: 1.15.2016